

17 Rec'd PCT/PTO 05 JUL 2001

Customer No.	026418	
Attorney's Docket No.:	GK-EIS-1040 / 500593.20032	
U.S. Application No.:	09/806,411	
International Application No.:	PCT/EP98/06426	
International Filing Date:	OCTOBER 09, 1998	09 OCTOBER 1998
Priority Date Claimed:	SEPTEMBER 30, 1998	30 SEPTEMBER 1998
Title of Invention:	INFORMATION SYSTEM	
Applicant(s) for (DO/EO/US):	Rolf MEYER, Wolfgang NIEHOFF, Bernd ROTH, Klaus SANDERS and Hans KUEHN	

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☐ 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and
- ☐ 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- ☐ 5. A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
- a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau)
- b) ☐ has been transmitted by the international Bureau
- c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
- ☒ 6. A translation of the International Application into English [35 U.S.C. 371(c)(2)]
- ☐ 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
- a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau)
- b) ☐ have been transmitted by the International Bureau
- c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
- d) ☐ have not been made and will not be made
- ☐ 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
- ☐ 9. An EXECUTED Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]
- ☐ 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

**Items 11. to 16. Below concern other document(s) or information included:**

- ☐ 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
- ☐ 12. An Assignment document for recording. A separate cover sheet (PTO-1619A) in compliance with 37 CFR 3.28 and 3.31 is included.
- ☐ 13. ☐ A **FIRST** preliminary amendment
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment
- ☐ 14. A **substitute specification**
- ☐ 15. A change of power of attorney and/or address letter
- ☒ 16. (other items or information) **Communication to the Commissioner, PCT/DO/EO/916 and PCT/DO/EO/913 dated 25JUN01**

EXPRESS MAIL No.: EL 915 669 326 US

Deposited: July 5, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, DC 20231.

  
/Ruth Montalvo Date: July 5, 2001

**PTO/PCT Rec'd 05 JUL 2001****[ ] 17. The following fees are submitted:****BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)]**

- ☐ Search Report has been prepared by the EPO or JPO..... \$ 860.00
- ☐ International preliminary examination fee paid to USPTO [37 CFR 1.482]..... \$ 690.00
- ☐ No International preliminary examination fee paid to USPTO [37 CFR 1.482] but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... \$ 710.00
- ☐ Neither International preliminary examination fee [37 CFR 1.482] nor International search fee [37 CFR 1.445(a)(2)] paid to USPTO..... \$ 1,000.00
- ☐ International preliminary examination fee paid to USPTO [37 CFR 1.482] and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$ 100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT:**

Claims	Number Filed		Number Extra	Rate
Total Claims		-20		x \$ 18. =
Indep. Claims		-03		x \$ 80. =
<input type="checkbox"/> Multiple Dependent Claim(s) (if applicable)				+ \$ 270. =

**TOTAL OF ABOVE CALCULATIONS:**Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date [37 CFR 1.492(e)]**TOTAL OF ABOVE CALCULATIONS:**

Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by 1/2 for filing by small entity

**SUBTOTAL:**Processing fee of \$130.00 for furnishing the English Translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date [37 CFR 1.492(f)]**\$130.00****TOTAL NATIONAL FEE:****\$130.00**

Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property +

**TOTAL FEE(S):****\$130.00**AMOUNTS TO BE  
REFUNDED OR CHARGED**REFUNDED \$**  
**CHARGED \$**

- ☒ Check in the amount of **\$ 130.00** to cover the above fees is enclosed. (The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)

**NOTE:** Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Gerald h. Kiel, Esq.** (Customer No. 026418)  
 Reed Smith LLP  
 375 Park Avenue  
 New York, NY 10152

Gerald H. Kiel

Name (Tel. (212) 521-5400)

Signature

25.116

Reg. No.

July 5, 2001

Date

07/10/2001 MNGUYEN 00000115 09806411

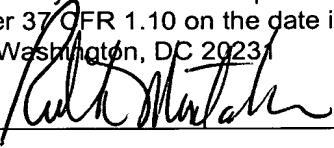
01 FC:156

130.00 0P

EXPRESS MAIL No.: EL 915 669 326 US

Deposited: July 5, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: Box PCT, Commissioner for Patents, Washington, DC 20231



/ Ruth Montalvo Date: 07/05/01

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Customer No. 026418  
Attorney's Docket No.: GK-EIS-1040 / 500593.20032  
U.S. Application No.: 09/806,411  
International Application No.: PCT/EP98/06426  
International Filing Date: OCTOBER 09, 1998 09 OCTOBER 1998  
Priority Date Claimed: SEPTEMBER 30, 1998 30 SEPTEMBER 1998  
Title of Invention: INFORMATION SYSTEM  
Applicant(s) for (DO/EO/US): Rolf MEYER, Wolfgang NIEHOFF, Bernd ROTH, Klaus SANDERS and Hans KUEHN

Box PCT  
Commissioner of Patents  
Washington, D. C. 20231

**COMMUNICATION TO THE COMMISSIONER**

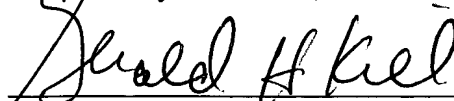
S I R:

In response to the Notification of a Defective Response dated June 25, 2001, applicant hereby submits the Verified English translation and surcharge for a Non-English language application.

Please note that the executed Declaration/POA and surcharge were filed on May 31, 2001 and that a substitute specification was simultaneously filed with the National Phase application on March 29, 2001 and that the filing fee was based upon the substitute specification.

With the filing of the English translation and surcharge, it is submitted that the application is now complete and in form for examination. We look forward in receiving the Notification of Acceptance of Application under 35 U.S.C. 371 ( PCT/DO/EO/903).

Respectfully submitted,



Gerald H. Kiel - Reg. No. 25,116  
Reed Smith LLP  
375 Park Avenue  
New York, NY 10152

GHK:ram  
07/05/01  
Tel. (212) 521-5400  
Enclosures:

PCT/DO/EO/916  
Verified English translation.



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/806411	MEYER	GK-EIS-1040
INTERNATIONAL APPLICATION NO.		
PCT/EP98/06426		
I.A. FILING DATE	PRIORITY DATE	
09 OCT 98	30 SEP 98	
DATE MAILED: 25 JUN 2001		

REED SMITH LLP  
375 PARK AVENUE  
NEW YORK, NY 10152

## NOTIFICATION OF A DEFECTIVE RESPONSE

1. ☐ The request for an extension of time (37 CFR 1.136(a)) filed \_\_\_\_\_ is defective because the required fee is missing/insufficient. Extension of time fees are listed at 37 CFR 1.17(a)(1)-(a)(5).
2. ☐ Applicant's response filed \_\_\_\_\_ was received in the Office after the expiration of the period for response set in the Office notification mailed \_\_\_\_\_. This application will become abandoned unless applicant obtains an extension of time to reply to the last Office notification under 37 CFR 1.136(a).
3. ☒ Applicant's response filed 31 MAY 2001 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS (Form PCT/DO/EO/905) mailed 01 MAY 2001 have not been completed.

- ☐ Translation of the international application into English.  
☐ which is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ Processing fee (37 CFR 1.492(f)).
- ☒ Oath or Declaration of inventors(s).  
☐ not in compliance with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ Surcharge (37 CFR 1.492(e)).
- ☐ Sequence Listing.  
☐ not in compliance with 37 CFR 1.821-1.825 for the reasons indicated on the attached PCT/DO/EO/920.
- ☐ Additional claim fees.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements (Form DO/EO/905), whichever is the longer. No extension of this time limit may be granted under 37 C.F.R. § 1.136, but the period for response set in the Notification of Missing Requirements (Form DO/EO/905) may be extended under 37 C.F.R. § 1.136(a).

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

Enclosed: ☐ PCT/DO/EO/917  
☐ PCT/DO/EO/920☒ Notice of Defective Translation

Anita D. Johnson

Telephone: 703-305-3661

FORM PCT/DO/EO/916 (March 2001)

DOCKET

DUE

*July 25, 2001 Oath + Declaration + Surcharge*  
*July 25, 2001 Translation + Surcharge Deadline*



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: ASSISTANT COMMISSIONER FOR PATENTS  
Box PCT  
Washington, D.C. 20231

U.S. APPLICATION NO.

09/806411

ATTACHMENT TO FORM PCT/DO/EO

### NOTICE OF DEFECTIVE TRANSLATION

The received translation is defective because:

- ☐ (1) The text in the drawings has not been properly translated;  
☐ (2) The number of claims in the International Application and the number of claims in the translation are not the same;  
☐ (3) The translation of the International Application is incomplete as a number of pages are missing;  
☒ (4) Other.

TRANSLATION AND SURCHARGE WAS NOT ENCLOSED WITH DECLARATION SUBMITTED 31 MAY 2001.

Anita D. Johnson

Telephone: 703-305-3661

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Customer No.	<b>026418</b>	
Attorney's Docket No.:	<b>GK-EIS-1040 / 500593.20032</b>	
U.S. Application No.:	<b>09/806,411</b>	
International Application No.:	<b>PCT/EP98/06426</b>	
International Filing Date:	<b>OCTOBER 09, 1998</b>	<b>09 OCTOBER 1998</b>
Priority Date Claimed:	<b>SEPTEMBER 30, 1998</b>	<b>30 SEPTEMBER 1998</b>
Title of Invention:	<b>INFORMATION SYSTEM</b>	
Applicant(s) for (DO/EO/US):	<b>Rolf MEYER, Wolfgang NIEHOFF, Bernd ROTH, Klaus SANDERS and Hans KUEHN</b>	

ENGLISH TRANSLATION  
OF  
GERMAN APPLICATION  
AS FILED

International Patent Application

No. PCT/EP98/06426

International Publication Number WO 00/19642

in the name of SENNHEISER ELECTRONIC GMBH & CO. KG

I, ELIZABETH ANNE LAMB, of 20 Netherfield Road, Harpenden, Hertfordshire, AL5 2AG, hereby certify that I am conversant with the German language and that the following is a true and correct translation made by me into the English language of the above International Patent Application to the best of my knowledge and belief.

Elizabeth Lamb, the 9th day of MARCH, 2000.